

# Mass Workforce Issuance

100 DCS XX.XXX

☒ Policy ☐ Information

**To:** Chief Elected Officials  
Workforce Development Board Chairs  
Workforce Development Board Directors  
Title I Administrators  
Career Center Directors  
Title I Fiscal Officers  
DCS Operations Managers

**cc:** WIOA State Partners

**From:** Alice Sweeney, Director  
Department of Career Services

**Date:** December 20, 2017

**Subject:** Local Workforce Board Oversight and Monitoring Requirements Policy

**FOR REVIEW and COMMENT by JANUARY 2, 2018**

**Purpose:** To establish policy regarding local level programmatic monitoring requirements under WIOA.

**Background:** The local Workforce Board (heretofore referred to as “Board”), in partnership with the chief elected official is responsible to monitor all of its WIOA Title I and Wagner-Peyser programs, sub-recipients and contractors on-site, at least annually, or once during each contract term (for contracts lasting less than one year), for programmatic compliance. The Board must ensure that the use, management, and investment of funds for workforce development activities maximize performance outcomes under WIOA Section 116.

**Policy:** In accordance with 20 CFR §683.410, each recipient and subrecipient of funds under title I of WIOA and under the Wagner-Peyser Act must conduct regular oversight and monitoring of its WIOA and Wagner-Peyser Act program(s) and those of its sub-recipients and contractors. The Board will be responsible for conducting programmatic monitoring to ensure compliance with WIOA federal, state and local regulations and for providing technical assistance as necessary and appropriate. Each Board must develop a local monitoring policy and procedures.

**Action**

**Required:** Workforce Boards must develop local monitoring policy and procedures to be kept on file and made available for review and conduct programmatic monitoring as described herein.

**Effective:** Immediately

**Inquiries:** Please email all questions to [PolicyQA@MassMail.State.MA.US](mailto:PolicyQA@MassMail.State.MA.US). Also, indicate Issuance number and description.

**Attachments:**

- A. Monitoring Elements
- B. Monitoring Questionnaire
- C. Notification Letter & Schedule
- D. Customer File Review Tool
- E. ADA/Complaint Tool
- F. Language Access Assessment Tool
- G. Standard Operating Procedure Tool

**References:** WIOA Sections 107, 116  
WIOA 20 CFR § 683.410.  
2 CFR Part 200  
2 CFR Part 2900

## **Definitions**

*“Subrecipient”* means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a federal awarding agency (2 CFR § 200.93).

Each subrecipient of funds under Title I of WIOA must conduct regular oversight and monitoring of its WIOA programs and those of its subrecipients and contractors in order to:

- Determine that expenditures have been made against the proper cost categories and within the cost limitations specified in the Act and the regulations in this part;
- Determine whether there is compliance with other provision of the Act and the WIOA regulations and other applicable laws and regulations;
- Assure compliance with 2 CFR part 200; and
- Determine compliance with the nondiscrimination, disability and equal opportunity requirements of WIOA Section 188 (20 CFR § 683.410 (a)).

*“Subaward”* means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract (2 CFR § 200.92).

*“Contractor”* means an entity that receives a legal instrument (i.e., contract) by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award. The term as used in this part does not include a legal instrument, even if the non-Federal entity considers it a contract, when the substance of the transaction meets the definition of a Federal award or subaward (2 CFR § 200.22 and 200.23).

## **Local Area Monitoring Timing and Tools**

### **Frequency**

All local Workforce Board programs will be monitored at least one time per program year by the Board; contracts providing customer services within the workforce development system will also be annually reviewed by the Board. Local monitoring staff will implement a regular monitoring schedule for the appropriate program year.

### **Monitoring Questionnaire**

The Board should develop a monitoring questionnaire as an oversight tool and utilize it to gain a better understanding of the sub-recipient’s project/program processes. The monitoring questionnaire should be completed by the sub-recipients prior to the scheduled monitoring. Attachment B is a recommended Monitoring Questionnaire.

### **Monitoring Guide**

The Board should develop a monitoring guide to provide a clear plan of how the sub-recipient’s project/program processes are to be reviewed and monitored for compliance with Federal and State regulations as well as the local area Standard Operating Procedures.

Below are examples of content for a local monitoring guide.

## **Recommended Monitoring Practices**

- Monthly performance reports serve to keep the Board abreast of project performance and can help to identify potential problems before they become performance issues.
- Quarterly reports, shared with appropriate Board committees and with the subrecipients/contractors are a quality tool to keep grants on track.
- Monthly and quarterly reviews should include plan versus actual for project spending as well as programmatic performance (e.g. enrollments, training enrollments, career services delivered).
- Site visits, in addition to the actual monitoring site visit, will help the Board to keep abreast of project performance and customer satisfaction.
- These and other practices comprise high-quality oversight and in addition to identifying potential issues also serve to identify and reward performance excellence and promising practices.

## **Local Monitoring Procedures**

### **A. Customer File Review**

1. The Board will conduct a formal monitoring review for each WIOA funding source. The reviewer will examine all data in both the electronic and the hard copy file (when applicable). The data will be reviewed for timeliness and accuracy.
2. For WIOA sub-recipients, participant files will be reviewed using both electronic files and hard copy files (when applicable).
  - a. A minimum sample of all files; 10 each of Adult, Dislocated Worker and Youth folders from the pertinent fiscal year will be examined.
  - b. The review of Youth files will include examination of compliance with child labor laws, where applicable.
  - c. Boards must also monitor a sample of 10 Veterans files in MOSES.
  - d. Files of customers who have been exited may be reviewed as part of the sample.
  - e. In addition to the minimum sample of the files listed above, the Board must ensure that every program is included in the file review (e.g. Disability Employment Initiative participants, Apprentices, On-the Job Training participants, special grants enrollees).

**B. Site Visit**

1. Site visits will be made to each site at least one time per program year and preceded by an email announcement at least one week in advance of the monitoring visit. Unannounced visits by the Board are permitted; however, the sub-recipient will not be responsible for absence of a staff person when this situation arises.
2. Site visits will include an inspection of the building to insure adherence to ADA policies.
3. The Board reviewer will interview staff and has the option to speak with customers who may be in the building for services.
4. The Board reviewer monitor has the option to conduct a customer file review during the site visit or conduct the file review separately.

**C. Timing**

For sub-recipients with contracts, the duration of which is one year or less, monitoring will be conducted once during the contract period. All monitoring will be completed 60 days prior to the end of the program year.

**D. Performance Monitoring includes but is not limited to assessment of:**

1. Planned service levels;
2. Fiscal and administrative compliance;
3. Program operation and compliance
4. Expenditures and reporting;
5. Actual performance against performance outcome goals.

**E. Compliance monitoring of program activities and services to participants includes but is not limited to:**

1. Review of intake and referral processes;
2. Review of customer flow and quality of services to ensure services are universal, easy to access, and that both program participants and employers are served in a timely manner;
3. Review of the eligibility determination process and certification;
4. Review of assessment tools;
5. Review of vocational training, on-the-job training programs, work experience and supportive services;
6. Program results or outcomes;
7. Performance measures;
8. Record keeping and file maintenance;
9. Data recording and reporting, including data integrity and quality;
10. Policies and procedures.

**F. Compliance monitoring of program administration and management practices includes, but is not limited to:**

1. Review of fiscal and accounting procedures;
2. Review of internal control systems;
3. Review of financial and fiscal reports;
4. Review of administrative controls;

5. Review of non-discrimination/EEO compliance, policies and procedures;
6. Budget methodologies;
7. Cost allocation plans and processes/Indirect Cost Rates;
8. Management practices;
9. Cash disbursement compliance documentation.

#### **G. OJT Contracts and Apprenticeships**

OJTs and Apprenticeships will be monitored according to local area standard operating procedures.

#### **H. Exit Interview**

A formal exit interview between the sub-recipients and the Board reviewers will be conducted at the conclusion of the review to discuss results of the review.

#### **I. Findings of Noncompliance**

1. If, as result of compliance and performance monitoring or otherwise, the Board has determined that non-compliance and/or a violation of provisions of the Federal, State, local regulations, or sub-award agreement exists, the Board will require corrective action(s) to secure prompt compliance.

If as a result of Board's monitoring any costs are found to be disallowed, the sub-recipient will be notified in writing about the Board's determination with respect to payment options. At all times, payments for disallowed cost shall be made no later than 30 business days from the receipt of written notification.

Boards are responsible for their subrecipients' audit resolution proceedings and debt action. Boards must follow the State Audit Resolution & Debt Collection policy or the Debt Collection policy developed by the local workforce area.

#### **J. Report**

A written report will be sent to the sub-recipients within 30 days of completion of the monitoring. The sub-recipients will be given no less than 15 working days to correct or explain the findings and report back to the Board. Resolution actions will continue at the direction of the Board until all findings have been resolved to the satisfaction of the operator.

#### **K. Corrective Action**

In the event the performance of a sub-recipient is below minimum standards, a corrective action plan will be developed to improve sub-recipient performance. The Board will follow-up with additional performance monitoring to determine if the deficiency has been corrected. If the sub-recipient is deemed to be in compliance with the corrective action plan, a letter will be sent advising that the correction action goals have been met.

If the sub-recipient fails to correct the deficiency, the sub-recipient will receive written notice that the program is to be placed on probation. The notice will indicate the effective date of the probation and the duration of the probation. The probationary period will not be less than thirty days or more than ninety days.

The sub-recipient will be notified in writing five days before the probation period expires of one of the following:

- a. The probation will be terminated.
- b. The program will be terminated
- c. The probations will be extended for a period of time not to exceed 90 days.

#### **L. High Risk Service Provider**

A high-risk service provider determination may be made by the Board or Fiscal Agent where:

- Monitoring activities uncover disallowed costs
- When a service provider fails to attain a minimum WIOA Performance Measures,
- Service provider action results in negative public relations.
- Additional criteria may be established for data validation.

High-risk service providers may be monitored quarterly until such a time as the BOARD and/or Fiscal Agent determine that the identified issues have been resolved satisfactorily and systems and procedures have been adapted appropriately to the BOARD and/or Fiscal Agent's satisfaction. The BOARD may initiate a full program review each quarter and desktop reviews monthly.

#### **M. Appeals**

1. A sub-recipient who is dissatisfied by a BOARD determination to impose a sanction (s) or corrective action (s) may file a written appeal as indicated in this section.
2. Grounds for appeals:
  - a) Findings of non-compliance
  - b) Disallowed costs
3. Any sub-recipient interested in filing an appeal must exhaust the remedies provided in this policy prior to seeking additional relief at a different venue.
4. A sub-recipient who fails to exhaust the administrative remedies provided in this policy waives its rights to file an appeal.
5. Appeals made under this section, with respect to findings of non-compliance, shall be made no later than 30 days after receipt of monitoring report.
6. Appeals made under this section, with respect to disallowed costs, shall be made no later than 30 days after receipt of final disallowed costs letter from the BOARD.
7. The written appeal shall state, with accuracy/precision the following;
  - a) Sub-recipient name, address, contact information;
  - b) The imposed sanction(s) that constitute the basis for the appeal;
  - c) Support documentation to support and/or validate the basis of the appeal; and
  - d) Form of relief requested.
8. The written appeal shall be directed to the DCS Executive Director of The Department of Careers Services.
9. DCS will issue a determination no later than 30 business days after receipt of the appeal.

## ATTACHMENT A

### Monitoring Elements

<b>Local ( Monitoring the CC Operator)</b>
Process Focus: how they do it, results
<b>ADA:</b> DCS sign off document items
<b>Administration:</b> posters, HR requirements, Safety plan, Etc.
<b>Business Services:</b> job orders, referrals, outreach/marketing activities, services provided, results
<b>Career Planning:</b> methods, determine need, services provided, coordination among staff
<b>Career Services Provision:</b> how are services provided; assessment, etc. how documented, results
<b>Customer satisfaction:</b> process, customer feedback, actions taken
<b>EO/Complaint:</b> process, type complaints filed, resolution
<b>Follow-Up:</b> services offered, how documented, results
<b>LMI; Demand Occupations:</b> staff use, dissemination, methods, interpretation
<b>MOSES:</b> customer file reviews: program registrations
<b>MSFW Program:</b> (Jose) ???
<b>Partner Referrals:</b> process, documentation, joint services, coordination, results
<b>Performance Management System:</b> what process, what data, corrective measures, dissemination
<b>Priority of Service:</b> how are they identified, documented, services provided
<b>RESEA:</b> (David) Initial Review, Required elements (CAP), Final Review, referrals,
<b>SOPs:</b> Who, What, When, Where, Why, How; are they following own SOPs
<b>Training:</b> ITA, OJT, Apprenticeship, Career Pathways, Work Experience: Costs, placements, results, incompletes, demand driven
<b>VETS Programs at CC:</b> compliance with state SOP items
<b>Youth Program:</b> referral to programs, connections to adult program and ITA's when appropriate.

State focus is on the local area's systems: compliance with regulations, policies, process and procedures

Local focus is on the Career Centers processes: compliance and performance under the policies and procedures.

Every Second year is a required systems certification year. The state must certify to ETA that the systems are in place and in compliance.



# WIOA Program Monitoring Tools

**Massachusetts Department of Career Services**

**PROGRAM QUESTIONNAIRE**

**FISCAL YEAR 2018**

**WIOA Title I – Youth, Adult, Dislocated Worker, WIOA Title III – Wagner-Peyser  
Trade, Veterans, RESEA**

Operator:

Date(s) of Review:

Prepared By:

Date:

Print Name:

Signature:

I certify under the penalties of perjury, that the information contained in this questionnaire is true and complete to the best of my knowledge. Signatory must be authorized to sign correspondence to Department of Career Services.

**ONE-STOP CAREER CENTER(S)**

<b>Career Center Name</b>	<b>Address/City</b>	<b>Affiliate/ Access</b>	<b>Center Manager Name/Title</b>	<b>Center's Hours of Operation</b>

Please list the services available at each respective full service Career Center office or affiliate/access office listed above.

<b>Career Center Name</b>	<b>Services Available</b>

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Section 1: Massachusetts Department of Career Services Complaint Policy		Yes	No	N/A	Comments
1.	Please describe how you have ensured all Career Center staff is knowledgeable about procedures to handle universal complaints.				
2.	Have there been any complaints and/or grievances filed this year?				
3.	Has your local area submitted to DCS, the Complaint Log(s) that are due fifteen (15) days subsequent to the end of each quarter for all applicable quarters?				
4.	Please describe how the Career Center(s) are universally accessible to meet the needs of customers with disabilities.				
5.	Plases list the services and list the resources available to meet the needs of customers with disabilities.				
6.	Please list the entities that you are collaborating with to assist individuals with disabilities.				
7.	Please describe how the center operates so that each program or activity is readily accessible to qualified individuals with disabilities.				
8.	How does the center ensure that individuals with disabilities can participate fully in retraining programs?				

9.	What training does the center provide to all of its line and supervisory staff to ensure compliance with the non-discrimination/equal opportunity requirements?				
10.	How does the center identify which applicants (including individuals with disabilities) need assistance during any Career Center services?				
<b>Section 2: Massachusetts Federal &amp; State Law Posters</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.	Does the Career Center have the following posters visible for customers meeting the compliance requirements of WIOA?				
	▪ DOL Complaint System				
	▪ Equal Employment Opportunity Act (EEO)				
	▪ Equal Employment Opportunity Act (EEO Spanish)				
	▪ Equal Employment Opportunity Act (EEO Supplement English)				
	▪ Fair Labor Standards Act (Federal Minimum Wage)				
	▪ Fair Labor Standards (Federal Minimum Wage Spanish)				
	▪ Migrant Seasonal Agricultural Worker Protection Act (MSPA)				
	▪ Safety and Health Protection on the Job (OSHA)				
	▪ Safety and Health Protection on the Job (OSHA Spanish)				
	▪ Massachusetts Wage and Hour Laws (State Minimum Wage)				
	▪ Unemployment Insurance (UI)				

	▪ Notice to Workers with Disabilities/Special Minimum Wage				
	▪ Uniformed Services Employment and Reemployment Rights Act (USERRA)				
	▪ Child Labor Laws				
2.	Does the Career Center have the following posters visible for staff meeting the compliance requirements of WIOA?				
	▪ Department of Industrial Accidents (Worker's Compensation)				
	▪ Department of Industrial Accidents (Worker's Compensation Spanish)				
	▪ Fair Employment in Massachusetts				
	▪ No Smoking				
	▪ Massachusetts Parental Leave Act Notice				
	▪ Employee Rights Under the National Labor Act Notice				
	▪ Employee Rights and Responsibilities Under the Family and Medical Leave Act (FMLA)				
	▪ Maternity Leave Fact Sheet				
	▪ Right to Know Workplace Notice				
	▪ Department of Labor Standards (DLS) Workplace Safety				
3.	Does the Career Center have the following Optional Posters visible in the Event of a customer injury?				
	▪ Employee Rights Under the Davis-Bacon Act				
	▪ Employee Rights Under the Davis Bacon Act (Spanish)				
	▪ Employee Polygraph Protection Act				

	▪ Employee Polygraph Protection Act (Spanish)				
	▪ Worker Rights Under Executive Order 13658 (Federal Minimum Wage for Contractors)				
	▪ Employment Rights on Government Contract (SCA/PCA)				
	▪ Fatality – Catastrophe				
	▪ State OSHA				
4.	Does the Career Center have the following Department of Career Services (DCS) Posters visible?				
	▪ Veterans (retractable 8 x 3) – Display in Reception Area				
	▪ Trade Adjustment Assistance Program (TAA) 11 x 7 – Display in Reception Area				
	▪ MSFW 8 ½ x 11 version (English) – Displayed in Reception Area				
<b>Section 3A: Performance Measures/Common Measures: Administrative</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.	Is the Career Center meeting WIOA Title I performance measures for the most recent quarter for the following programs? If no, please explain. Include measures met (less than				
	▪ Adult				
	▪ Dislocated Worker (DW)				
	▪ Youth				
	▪ Trade (TAA TRA)				
2.	Does the Career Center currently face concerning achievement of its performance goals? If yes, please explain and describe the				

	steps being taken to meet these performance goals.				
<b>Section 3B: Performance Measures/Common Measures: Plan Objectives/Service Goals</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.	Is the Career Center meeting the following WIOA Title I and Title III service goals? If no, please explain				
	▪ UI Claimants				
	▪ Unemployed				
	▪ Disabled				
	▪ VETS				
	▪ Adult				
	▪ Dislocated Worker				
	▪ Youth				
	▪ Trade				
	▪ Employers				
2.	Does the Career Center have any success and achievements to share as best practices in regards to the provision of job seeker services? If yes, please describe.				
3.	Does the Career Center have any concerns in regards to the provision of job seeker services? If yes, please describe.				
<b>Section 4: WIOA Title I – Adult Dislocated Worker &amp; Trade Eligibility Determination</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.	Does the Career Center have following systems in place to determine and verify eligibility for the Adult program? If no, please explain.				
	▪ Income Verification				
	▪ Citizenship/Work Authorization				



	▪ Selective Service				
	▪ Age				
2.	Does the Career Center have the following systems in place to determine and verify eligibility for the Dislocated Worker (DW) program? If no, please explain.				
	▪ Dislocated Worker Eligibility				
	▪ Citizenship/Work Authorization				
	▪ Selective Service				
	▪ Displaced Home Maker Eligibility				
	▪ Age				
3.	Does the Career Center have the following systems in place to determine and verify eligibility for the Trade program? If no, please describe.				
	▪ Trade Eligibility				
	▪ Citizenship/Work Authorization				
	▪ Selective Service				
	▪ Notification Letter from Trade Unit				
	▪ Proof of Employment at Trade Certified Company				
	▪ Age				
4.	Does the Career Center have a specific entity or entities responsible for conducting oversight of the program eligibility for the following programs? Please list entity or entities responsible.				
	▪ Adult Program				
	▪ Dislocated Worker Program				
	▪ Youth Program				
	▪ Trade Program				

5.	Does the Career Center have a policy regarding the collection of eligibility documentation? If yes, please describe.				
6.	Does the Career Center have a priority and/or restriction policy to determine if a customer meets the priority and/or the residency restriction requirement? If yes, please describe.				
7.	Does the Career Center apply the priority and/or restriction required residency for customers to be enrolled and receive WIOA Title I retraining services?				
8.	Does the Career Center have a policy regarding policy for low income adults? If yes, please describe.				
<b>Section 5A: Individual Training Account (ITA)</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.	Does the Career Center have a policy and/or procedures for tracking performance and customer satisfaction? If yes, please describe.				
2.	Does the Career Center provide a list to customers of state ITAs? If yes, please describe.				
3.	Does the Career Center require the customer to complete any assessments for access into a training program? If yes, please describe				
4.	Are there any limitations to ITAs relative to duration and range of amount as established by the Board? If yes, please describe.				
5.	Does the Career Center have a specific entity or entities responsible for managing the eligible provider process? If yes, please describe.				

6.	Does the Career Center have a process in place to ensure the contract cost of the ITA is consistent with the ITA cost listed in MOSES?				
7.	Does the Career Center verify that the offered training responds to demand driven needs? If yes, please describe.				
<b>Section 5B: Labor Market Information (LMI)</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.	Does the Career Center have a record of the five (5) most utilized training occupations for the previous four (4) quarters? If yes, please list the training occupations and how many customers are enrolled in each.				
2.	Does the Career Center have a record of the five (5) highest placement occupations compared to the LMI described in their plan? If yes, please list the placement occupations.				
3.	Does the Career Center have a record of how many customers were hired and in what industries?				
<b>Section 6: Career Planning</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.	Does the Career Center have an entity or entities responsible for quality control? If yes, please list all entities responsible.				
2.	Is there a procedure for ensuring quality control over Career Planning? If yes, please describe.				
3.	Does the Career Center ensure quality control over customer contact every 30-60 day? If no, please explain.				
4.	Does the Career Center ensure quality control over Follow Up Services?				

5.	Do customers receiving services have a checklist of all require documents required in a customer folder?				
6.	Does the Career Center provide Supportive Services? If yes, please list all Supportive Services available.				
7.	Does the Career Center prove Needs Related Payments?				
8.	Does the Career Center provide Customized Training?				
9.	Does the Career Center utilize On-The-Job Training (OJT)?				
10.	Does the Career Center utilize Apprenticeships?				
11.	Does the center provide other work experiences such as internships or transitional jobs? If yes, please explain.				
<b>Section 7: WIOA Title III – Wagner Peyser Services</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.	Please provide a description of the available basic and individualized career services for customers at the Career Center.				
2.	Please provide a description of the available services (no-fee) for employers at the Career Center.				
<b>Section 8: Veteran Services</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.	Does each Career Center have a DVOP to provide services to veteran eligible customers? If yes, please list DVOPs and/or LVERs and their designated Career Centers. If no, please				

	explain how Veteran eligible customers access JVSG services.				
2.	Please describe how you determine Point of Entry for Veteran priority of services.				
3.	Are Case Management services provided to all Veterans? If no, please describe procedure for determining which Veterans receive career planning services.				
4.	Describe the Case Management process, the services provided and where they are being documented.				
5.	Are WIOA career and training services for Veterans coordinated with other Career Center staff? If yes, please describe.				
6.	Is there a procedure for the process of services for Veterans? If yes, please describe.				
7.	Is there a back-up process in place to serve SBE Veterans when the Veterans Representative is not available? If yes, please describe.				
<b>Section 9: RESEA (Reemployment Services and Eligibility Assessment)</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.	Is the Front Desk trained to schedule a RESEA customer for a Career Center Seminar?				
2.	Is there back-up staff for the Career Center Seminar facilitator?				
3.	After CAP goals are entered into MOSES, does the RESEA Specialist print out the CAP from MOSES for the customer?				
4.	After CAP goals are entered into MOSES, does the RESEA Specialist give the customer a carbon copied state issued CAP form?				

5.	Is a hard copy of the CAP kept in the customer's file?				
6.	Have the following mandatory RESEA goals been attained to complete a customer's RESEA Review? If, not explain why?				
	▪ Attended a Career Center Seminar				
	▪ Attended Initial RESEA Review				
	▪ Completed Career Action Plan (CAP)				
	▪ Notified customer of Section 30 (TOP) benefits				
	▪ Review labor market research				
	▪ Review work search activity logs				
	▪ Register on JobQuest				
	▪ Register for a future service				
	▪ Attended RESEA Review				
7.	Are staff cross-trained to assist a RESEA customer?				
8.	Is there a designated staff member to handle RESEA sanctions? If yes, please describe.				
9.	Is there a designated staff member to handle RESEA errors?				
<b>Section 10: Migrant Seasonal Farm Worker (MSFW)</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.	Have Career Center staff registered any MSFW customers this year? If yes, how many have been registered?				
2.	How does Career Center staff inform MSFW customers of the services available and their right to file complaints, and the Career Center's availability to provide assistance?				
3.	Did the Career Center have any MSFW grievance this year?				

	<ul style="list-style-type: none"> <li>▪ If yes, did the Career Center notify the DCS State Monitor Advocate?</li> </ul>				
	<ul style="list-style-type: none"> <li>▪ If the Career Center did not notify the Monitor Advocate about an MSFW complaint, please explain.</li> </ul>				
4.	Have Career Center staff experienced problems in identifying MSFW customers during this year? If yes, please explain.				
5.	Have Career Center staff requested technical assistance regarding the provision of labor exchange, employment services to MSFW?				
6.	Have the Career Center staff experienced a problem providing labor exchange services to MSFW customers during this year? If yes, please describe.				
7.	Describe how the Career Center conducts MSFW referral/follow up services.				
8.	When an individual applies for WIOA services is the MSFW program explained?				
9.	What assistance has your staff received in determining eligibility for MSFW program?				
10.	Describe the management review process established to ensure the accuracy and quality of MSFW applications.				
11.	What actions are taken if it is suspected an agricultural employer has violated WIOA regulations or employment related law?				
12.	What has been done to develop and improve OSCC relationship with the following:				
	<ul style="list-style-type: none"> <li>• Public and private community agencies</li> </ul>				

	<ul style="list-style-type: none"> <li>Employers and/or employer organizations</li> </ul>				
<b>Section 11: Foreign Labor Exchange (FLC)</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.	H-2A related Job Orders, subject Foreign Certification (FLC) processing, are entered into MOSES by DCS Central FLC Unit. Agricultural employers (or their agents) may also place ads in local papers at the same time. These ads may direct interested parties to contact or go to a Career Center. Please describe the process that would be followed by the center if someone contacts them regarding these ads or these type of employments?				
2.	How does Career Center staff find job orders in MOSES when the job order number is not immediately known?				
3.	Have Career Center staff reported problems with the FLC Program (Agricultural and/or Non-agricultural) during this year? If yes, please explain.				
4.	Have Career Center staff requested any technical assistance regarding the FLC program? If yes, please describe.				
<b>Section 12: Youth Programs</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.	Are all Career Center staff members that are responsible for WIOA Youth programs provided with access to the Local Area's Operations Manual?				
2.	Are youth who do not meet the enrollment requirements of a particular program, or who cannot be served, referred to appropriate				



	programs to meet the basic skills and training needs of the applicant? [WIOA 129(c)(3)(B), 20 CFR 681.420]				
3.	How are youth who meet enrollment requirements provided with information for appropriate services that are available? [WIOA 129(c)(3)(A)(i), 20 CFR 681.420(d)(1)]				
4.	Are your organization's youth programs designed to provide the following to the youth participants? [WIOA 129(c)(1), 20 CFR 681.420, WSD 16-01]				
	▪ Objective Assessment				
	▪ Development of service strategies and goals directly linked to one or more of the performance indicators				
	▪ Activities leading to the attainment of a secondary school diploma, or its recognized equivalent, or a recognized postsecondary credential				
	▪ Preparation for postsecondary educational and training opportunities				
	▪ Links between academic instruction and occupational education leading to the attainment of recognized post-secondary credentials				
	▪ Preparation for unsubsidized employment opportunities				
	▪ Connection to employers, including small employers, in in-demand industry sectors and occupations of the local and regional labor markets				

5.	Has your organization made available the fourteen required youth program elements to the youth served under WIOA. Please provide the name and then entity(s) that provides the element and if the element is provided via a contract, referral or other. [WIOA 129(c)(2), CRF 681.460]				
	▪ Tutoring, study skills training, instruction and dropout prevention and recovery strategies that lead to completion of the requirements for a secondary school diploma or its recognized equivalent or for a recognized postsecondary credential.				
	▪ Alternative secondary school services, or dropout recovery services				
	▪ Paid and unpaid work experiences that have academic and occupational education as a component of the work experience				
	▪ Occupational skill training				
	▪ Education offered concurrently with, and in the same context as, workforce preparation activities and training for a specific occupation or occupational cluster				
	▪ Leadership development opportunities				
	▪ Supportive services				
	▪ Adult Mentoring for a duration of at least 21 months				
	▪ Follow-up services for not less than 12 months after the completion of participation				
	▪ Comprehensive guidance and counseling				
	▪ Financial literacy education				
	▪ Entrepreneurial skills training				

	<ul style="list-style-type: none"> <li>Services that provide labor market and employment information about in-demand industry sector or occupations available in the local.</li> </ul>				
	<ul style="list-style-type: none"> <li>Activities that help youth prepare for and transition of postsecondary education and training.</li> </ul>				
6.	If a youth is co-enrolled in adult and youth programs, does your organization have a system to track the funding streams to ensure appropriate cost distribution and avoid duplication of services?				
7.	Are supportive services or incentive payments provided to youth participants?				
	<ul style="list-style-type: none"> <li>If no, please explain.</li> </ul>				
	<ul style="list-style-type: none"> <li>If yes, are supportive services or incentive payments provided in line with established procedures?</li> </ul>				
	<ul style="list-style-type: none"> <li>Supported by appropriate documentation?</li> </ul>				
8.	Does your organization pay classroom-based wages to participants?				
9.	Does your organization issue stipends to the participants?				
10.	Does your organization ensure verification that 17-year-old male participants are registered with the Selective Service System within 30 days of their 18 <sup>th</sup> birthday if they turn 18 during the period of WIOA enrollment/participation? Please describe method.				
11.	Does your organization have a system to ensure that when an Applicant Statement is				

	used, all the requirements for its use are applied on every file?				
	<ul style="list-style-type: none"> <li>▪ A note is made in the MOSES database of efforts made (and failed) to get documents)</li> </ul>				
	<ul style="list-style-type: none"> <li>▪ Applicant Statements are not used to verify General Eligibility criteria and other unallowable criteria listed in the Youth Eligibility Manual.</li> </ul>				
	<ul style="list-style-type: none"> <li>▪ Parent/Guardian signs Applicant Statements if youth is under 18 years.</li> </ul>				
12.	Does your organization ensure the following:				
	<ul style="list-style-type: none"> <li>▪ The Youth Work Experience Training does not unfavorably affect current employees and do not impair existing contracts for services or collective bargaining agreements?</li> </ul>				
	<ul style="list-style-type: none"> <li>▪ The participants do not displace current employees or replace employees that were previously laid off from the worksite?</li> </ul>				
13.	Does your organization conduct an on-site visit to ensure that worksites comply with WIOA requirements?				
	<ul style="list-style-type: none"> <li>▪ If yes, do all worksites receive an on-site visit?</li> </ul>				
	<ul style="list-style-type: none"> <li>▪ If not, how does your organization ensure that worksites comply with the WIOA requirements and safety requirements?</li> </ul>				
14.	Does your organization conduct an orientation and provide an information packet or handbook to the participant supervisors and alternate supervisors prior to the participant's first day of work?				

	<ul style="list-style-type: none"> <li>If not, how does your organization ensure supervisors are informed of their roles and responsibilities and the WIOA compliance requirement regarding youth participants?</li> </ul>				
15.	Does your organization have written policies and procedures that are used to implement the time, attendance, check payment system?				
<b>Section 13: Required Policy Documents MOSES/Citrix Access and Confidentiality</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.	Does your area have the following policies and signed documents on site? (Policy 101.DCS 02.101.1)				
	<ul style="list-style-type: none"> <li>EOLWD ITR Policy (located at mass.gov/massworkforce)</li> </ul>				
	<ul style="list-style-type: none"> <li>EOLWD Confidentiality Policy EOLWD (located at mass.gov/massworkforce)</li> </ul>				
	<ul style="list-style-type: none"> <li>EOLWD Confidentiality Policy Non-EOLWD (located at mass.gov/massworkforce)</li> </ul>				
	<ul style="list-style-type: none"> <li>EOLWD Remote Access Acceptable Use Policy (located at mass.gov/massworkforce)</li> </ul>				

# ATTACHMENT C

## Sample Notification Letter

Date

Career Center Director

Career Center Name

Address

City/Town, Zip

**RE: One-Stop Career Center Name  
Local Workforce Development Board Quality Assurance Program Review**

Dear Career Center Director:

Please be advised that the Local Workforce Board will be conducting an on-site review of the One-Stop Career Center Area from insert date. In accordance with applicable State and Federal laws, the review will cover Adult, Dislocated Worker, Youth, Veterans, Re-Employment Services (RES)/Re-Employment and Eligibility Assessment (RESEA), Migrant Seasonal Farm Worker (MSFW), Wagner-Peyser, Trade, and will include the following:

- Program Systems Compliance Review
  - Eligibility
  - Complaint
  - Equal Opportunity (EO)
  - American Disability Act (ADA)
  - Career Planning
  - MOSES/MIS
  - Follow-up

Required documentation:

1. The Local Workforce Board may create a program questionnaire to send to the One-Stop Career Center to complete and return to the Local Workforce Development Board prior to the Review.
2. Selected samples for file review are WIOA Title I Adult, Dislocated Worker, Youth, Trade, Veterans, and if applicable, MSFW customers. A list is attached for your attention. A RESEA sample will be looked at during the review either from the existing customer files or from a crystal report. Please gather the customer folders. All folders must be available on the first day of the review.
3. Any changes to the Program Standard Operating Procedures and any revised Policies must be submitted to the Local Workforce Development Board.

4. The Entrance Meeting will be conducted via, phone conference call or in person on (insert date) before the scheduled start of an area's review unless otherwise noted. The conference call will be held at (insert time) on (insert date). The appropriate staff will need to meet or call insert phone number. Insert instructions for phone conference. Please have the appropriate staff available for this meeting and notify them with the telephone number and meeting schedule.
5. It is encouraged that Local Workforce Board Monitors provide One-Stop Career Center Directors/Managers with a list of managers/staff that will be interviewed during the review. One-Stop Career Center Directors/Managers are encourage to inform the listed staff to schedule appropriately for the review.
6. The length of the review will be no (insert length of time of the review). A more detailed process will be discussed during the entrance conference call/meeting.
7. Prior to the conclusion of the on-site review, arrangements will be made to schedule an Exit Meeting to discuss any questions and concerns with your staff. The Exit meeting will either be done at a designated time directly following the review by conference call or meeting. Final results of the review will be communicated in writing.

**NOTE:** Please have all requested documentation available on the first day of the scheduled review. If you have any questions, please contact (insert LBOARD phone number).

Thank you in advance for your cooperation.

Sincerely,

Local Workforce Development Board Monitor Name  
Local Workforce Development Board

# ATTACHMENT D

## Customer File Review Tool

### Workforce Development Board

Fiscal Year 2018

### WIOA Title I/Title III Customer File Review

<b>Customer Name:</b>	<b>MOSES ID:</b>	<b>Career Center:</b>
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<b>Section 1: Eligibility</b>		<b>Yes</b>	<b>No</b>	<b>Comments</b>
1.	Is the customer 18 or older?			
2.	Was the customer a US Citizen at the time of enrollment?  If no, documentation used to work in the US?			
3.	Selective Service Compliant?			
4.	Enrolled as Adult?			
5.	Enrolled as Dislocated Worker?			
6.	Is WIOA Eligibility Policy being followed?			
<b>Section 2: General Services</b>		<b>Yes</b>	<b>No</b>	<b>Comments</b>
1.	Has EO been recorded in MOSES?			
2.	Has the customer received Basic Services?			
3.	Has customer received Individualized Services?			
4.	Has the customer obtained employment?			
5.	Are the follow-up services offered according to policy?			
<b>Section 3: MOSES/Data Entry</b>		<b>Yes</b>	<b>No</b>	<b>Comments</b>
1.	Are services being provided every 30 days?			
2.	Do services entered include a corresponding MOSES notes?			
3.	Are MOSES notes factual, non-judgmental, concise and relevant?			



4.	Do MOSES notes include information cut and pasted from emails?			
<b>Section 4: Individual Employment Plan (IEP)</b>		<b>Yes</b>	<b>No</b>	<b>Comments</b>
1.	Does the IEP include planned goals and tasks?			
2.	Does the IEP include a comprehensive assessment?			
3.	Are barriers to employment identified in full tab?			
4.	Is labor market info complete?			
<b>Section 5: Training</b>		<b>Yes</b>	<b>No</b>	<b>Comments</b>
1.	Did the customer receive training?			
2.	What type of training and provider? Please describe.			
3.	What type of training method? Please describe.			
4.	Is the training justification complete?			
5.	Does the customer possess the necessary skills and qualifications to successfully complete the training?			
6.	Is there documented evidence that the training selected is directly linked to employment?			
7.	Is the local policy for training costs being followed?			
8.	If the training is complete and credential achieved, is there a copy of the credential on file?			
<b>Section 6: Supportive Services/Needs related Payments (NRP)</b>		<b>Yes</b>	<b>No</b>	<b>Comments</b>
1.	Is the customer receiving supportive services?			
2.	Is the local policy for supportive services being followed?			
3.	Is the customer receiving NRP?			
4.	Is the local Policy for NRP being followed?			
<b>Section 7: Partner Referrals</b>		<b>Yes</b>	<b>No</b>	<b>Comments</b>
1.	Is the local policy on partner referrals being followed?			
<b>Section 8: Priority of Service</b>		<b>Yes</b>	<b>No</b>	<b>Comments</b>

1.	Is state and local policy on priority of services being followed?			
<b>Section 9: RESEA</b>		<b>Yes</b>	<b>No</b>	<b>Comments</b>
1.	Is the customer enrolled in RESEA?			
2.	Did the customer attend a CCS?			
3.	Is there a Career Action Plan (CAP)?			
4.	Have all the mandatory goals been attained?			
	▪ JobQuest			
	▪ LMI			
	▪ UI Eligibility and Work Search			
	▪ Attain RESEA Review			
5.	Were the weeks of job search review clearly identified?			
6.	Did any NOTES identify a conversation around the use of LMI?			
7.	Is there a corresponding MOSES note for each CAP goal?			
8.	If a potential UI eligibility issue was identified during any point of this process, was it documented in MOSES NOTES?			
9.	Was a Potential Issue Form sent to DUA?			
10.	Are the CAP goal action steps clearly defined in accordance with the local area's policy? (who, what, where, when and why)			
11.	Was the customer referred to some other type of activity? (i.e. workshop)  If yes, was their attendance to that activity followed up on?			
12.	Was a potential UI eligibility issue identified during that follow-up to that activity?  If yes, was the potential issue documented in NOTES?			
<b>Section 10: Military</b>		<b>Yes</b>	<b>No</b>	<b>Comments</b>
1.	Is the DD214 verified in MOSES?			
2.	Significant Barrier to Employment?			

	▪ Disabled			
	▪ Age 18-24			
	▪ Recently Discharged			
	▪ Low Income			
	▪ Less than High School Education			
	▪ Offender			
	▪ Homeless			
	▪ Wounded Warrior			
	▪ TSM-RIF 2958 form			
3.	Is DVOP conducting outreach? What kind?			
4.	If services are declined, does data entry/notes indicate?			
<b>Section 11: Trade</b>		<b>Yes</b>	<b>No</b>	<b>Comments</b>
1.	Are the following forms signed and dated by the customer and counselor in the case file?			
	▪ Eligibility 1666			
	▪ Application for ATTA company documents and pay stubs			
	▪ Application for RTAA company documents and pay stubs			
	▪ VSS criteria form			
	▪ Break in training form			
	▪ 30 Day EC form			
	▪ Training contract preapproval form			
	▪ Federal good cause form			
	▪ Equitable Tolling form			
	▪ Benchmark form or vendors version form			
	▪ Job search and interview verification form			
	▪ Relocation form			
	▪ Employment verification form			
<b>Section 12: Migrant Seasonal Farm Worker</b>		<b>Yes</b>	<b>No</b>	<b>Comments</b>
1.	Did the customer during the last 12 months do any farm work according to the MSFW definition?			
2.	Was the customer's work seasonal or temporary (not year-round with the same employer) according to the MSFW definition?			

3.	Did the customer's farm work require reasonable travel outside place of residence so they were unable to return home on the same day? If YES, customer is a Migrant Worker. If NO, customer is a Seasonal Worker according to the MSFW definition.			
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# ATTACHMENT E

## ADA Compliance Review Fiscal Year 2018

### Workforce Development Area:

**Local Workforce Development Board Monitor Name:** Name:  
Phone:  
Email:

**Career Center site(s):**

**BOARD Contact:** Phone:  
Email:

**FMO Program Contact:** Phone:  
Email:

**Complaint Officer:** Phone:  
E-Mail:

**Complaint Officer Back up:** Phone:  
E-Mail:

**Complaint Officer Back up:** Phone:  
E-mail:

**Complaint Officer Back up:** Phone:  
Email:

Have you provided the list of your Complaint Officer(s) to the Central Office Unified Complaint System/ADA/EEO contact person as per Policy 100.03.101.1? ☐ Yes ☐ No

### ADA Requirements

**The following ADA requirements have been reviewed for placement at above listed site, meeting the compliance requirements of the Workforce Innovation and Opportunity Act (WIOA):**

Does all the center's marketing and recruitment material include people with disabilities as one of the groups served? ☐ Yes ☐ No

Does all of the center's marketing and recruitment material state that adaptive equipment is available on request? ☐ Yes ☐ No

Do the center(s) have the following ADA standard adaptive hardware and software equipment available for individuals with disabilities?

ZoomText	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Jaws	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Scanner for Jaws/ZoomText	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Braille Labeler	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Assistive Listening devices	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Text TTY at each OSCC	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Height Adjustable Tables	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Tape Recorder	<input type="checkbox"/> Yes	<input type="checkbox"/> No
LCD Projector	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Trackball Mouse	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Dragon Naturally Speaking hands –free voice activated software	<input type="checkbox"/> Yes	<input type="checkbox"/> No

➤ **ADA Standard Adaptive Equipment**

All Career Center must have a list of all the adaptive equipment listed in a public area of the resource room and in large print. ☐ Yes ☐ No

All workshops must be presented in power point and with LCD projector. ☐ Yes ☐ No

All workshop presentations must be printed in power point and black or blue font and handed out by the trainer. ☐ Yes ☐ No

All general information must be available in large point font 18. ☐ Yes ☐ No

All adaptive equipment programs must be operational and available within the resource room. ☐ Yes ☐ No

All reception areas must have a wheelchair opening for providing services to individuals in wheelchairs. ☐ Yes ☐ No

All adaptive equipment areas must have the universal wheelchairs sign at the computer. ☐ Yes ☐ No

All One-Stop Careers must have the WIOA 188 Guidelines available to any consumer of the One-Stop Career Center. ☐ Yes ☐ No

<http://www.dol.gov/oasam/programs/crc/188Guide.htm>

All One-Stops Career Center must have wheelchair access to all programs and services.

☐ Yes ☐ No

All One-Stop Career Centers must have handicapped parking in close proximity to the Center. ☐ Yes ☐ No

All One-Stop Career Centers must have doors weighing less than proximally 5 lbs. to open or wheelchair bell ringers. ☐ Yes ☐ No

All One-Stop Career Centers and the Workforce Development Boards must be responsible for the implementation and compliance of WIOA (ADA) Section 188.

☐ Yes ☐ No

## Attachment F

### Language Access Assessment

1. Does Career Center take consideration of LEP needs when implementing new programs, services and activities, publishing new forms or notices etc.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2. Has Career Center management and staff ever attended a Language Access or LEP Training? If yes, when?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3. Has Career Center management reviewed the EOLWD Language Access Plan posted on Mass Workforce Development System? <a href="http://www.mass.gov/massworkforce/docs/resources/multi-lingual/language-access-plan-final-1-6-2016.pdf">http://www.mass.gov/massworkforce/docs/resources/multi-lingual/language-access-plan-final-1-6-2016.pdf</a>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4. Does Career Center staff follow the language access policies and requirements? <b>Issuance 100 DCS 08.101.1 Issued: 9/20/2017 08-101.1A:</b> <a href="#">Updated Language Services Guidelines to Assist Limited English Proficiency (LEP) Customers</a>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5. Does your Career Center ensure that appropriate language assistance services are provided at no charge to the LEP customers?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6. Does your Career Center display “ <b>Right to an Interpreter</b> ” posters on Career Center reception desk? Issuance # 100 DCS.08.101.1 Attachment D	<input type="checkbox"/> Yes	<input type="checkbox"/> No
7. Does your staff know the telephonic language line procedures? See WIOA Policy Issuance # 100 DCS.08.101.1	<input type="checkbox"/> Yes	<input type="checkbox"/> No
8. Is Career Center staff familiar with the Multilingual Services Workforce Development System Multilingual Resources page? <a href="https://www.mass.gov/service-details/multilingual-services">https://www.mass.gov/service-details/multilingual-services</a>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
9. Is Career Center staff familiar with the Multilingual Webpage on EOLWD website? <a href="https://www.mass.gov/orgs/office-of-multilingual-services">https://www.mass.gov/orgs/office-of-multilingual-services</a>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
10. Does Career Center staff refer customers to translated standard publication documents on EOLWD/DCS website?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
11. Does the Career Center staff follow WIOA Section 188 Policy regarding language access? <a href="http://www.mass.gov/massworkforce/docs/issuances/wioa-information/05-118.pdf">http://www.mass.gov/massworkforce/docs/issuances/wioa-information/05-118.pdf</a>	<input type="checkbox"/> Yes	<input type="checkbox"/> No



<p>12. Which resources does Career Center management utilize to obtain LEP data in its service area? (Select all that apply)</p>	<table border="0"> <tr> <td><input type="checkbox"/> US Census/ACS</td> <td><input type="checkbox"/> MOSES</td> </tr> <tr> <td><input type="checkbox"/> US Dept. of Education</td> <td><input type="checkbox"/> Customized reports</td> </tr> <tr> <td><input type="checkbox"/> US Dept. of Labor</td> <td><input type="checkbox"/> Other (please specify):_____</td> </tr> <tr> <td><input type="checkbox"/> Community organizations</td> <td>_____</td> </tr> </table>	<input type="checkbox"/> US Census/ACS	<input type="checkbox"/> MOSES	<input type="checkbox"/> US Dept. of Education	<input type="checkbox"/> Customized reports	<input type="checkbox"/> US Dept. of Labor	<input type="checkbox"/> Other (please specify):_____	<input type="checkbox"/> Community organizations	_____
<input type="checkbox"/> US Census/ACS	<input type="checkbox"/> MOSES								
<input type="checkbox"/> US Dept. of Education	<input type="checkbox"/> Customized reports								
<input type="checkbox"/> US Dept. of Labor	<input type="checkbox"/> Other (please specify):_____								
<input type="checkbox"/> Community organizations	_____								

# ATTACHMENT G

## SOP Review

- (1) Is your Purpose statement concise with the necessary relevant background information?
  - a. Area Career Centers & Governance
  - b. Structure of organization
  - c. WIOA OSCC Oversight Responsibility
  - d. Funding Sources
- (2) Does the Scope of your SOP include all necessary parties? Is the SOP user friendly to all audiences?
  - a. Governor
  - b. Chief elected Workforce Board Official
  - c. If applicable, other Agency Boards
  - d. OSCC staff
    - i. Both new and seasoned staff members
  - e. Inter-Agency staff members
  - f. Partner Agencies
- (3) Under Prerequisites have you provided a Reference Index to include at minimum all necessary WIOA Unified State Plan attachments?
  - a. Customer & Business flow charts
  - b. Business Demand 2.0 charts
  - c. Career Pathways Blueprint
  - d. Local Area charts, graphs, documents, and reports
  - e. All safety & building evacuation protocols/plans
- (4) Have you listed all parties responsible for the development of the SOP and included contact information?
  - a. LBOARD name (s)
  - b. OSCC Director
  - c. OSCC OPS Manager
  - d. Program Supervisor staff
  - e. All other staff that provided input
- (5) Have you listed ALL applicable policies?
  - a. Federal TEGL's VPL's
  - b. State MassWorkforce Issuances
  - c. Local Career Center policies: internal customer and job seeker
- (6) Have you listed your sequence of WIOA services?
  - a. *Intake/Registration* process including:
    - i. Priority populations, customer, and business flowcharts

- b. WIOA Basic, Individualized, and Follow up services*
    - i. Example of each service
  - c. Training Accounts/Funds*
    - i. Reference the approved Vendor list and where it is located
  - d. Veterans Services*
  - e. Disability Services & Adaptive Technology recourses available*
  - f. College Navigator*
  - g. Business Services*
  - h. UI Services*
- (7) Do you have your Partner Referral Process & follow through in place?
- a. List the process
- (8) Have you included in your SOP a list of acronyms, industry terms, and OSCC definitions?
- a. WIOA
  - b. Career Center
  - c. Partner Agency